

2014-116 AUDIT SCOPE AND OBJECTIVES

California Department of Consumer Affairs—BreEZe System

The audit by the California State Auditor will provide independently developed and verified information related to the California Department of Consumer Affairs' (Consumer Affairs) online licensing and enforcement system—BreEZe—and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Assess whether Consumer Affairs followed laws, rules, regulations, policies and/or best practices when planning, developing, and implementing BreEZe, including the level of outreach provided to stakeholders and the adequacy of training provided to staff.
3. Review and assess Consumer Affairs' justification for selecting BreEZe.
4. Evaluate whether Consumer Affairs provided sufficient oversight and testing during the planning, development, and implementation of BreEZe, including whether the executive office was involved in making key decisions and ensuring that BreEZe met the needs of the Board of Registered Nursing (board).
5. Review and evaluate all contract(s) and contract amendments that Consumer Affairs entered into with BreEZe's developer and determine whether goals have been met based on the expenditures to date. To the extent possible, determine whether the State has adequate recourse in the event that BreEZe vendors and/or developers do not fulfill contract requirements.
6. Determine the estimated and actual implementation timeline for BreEZe as well as Consumer Affairs' estimated and actual costs.
7. Determine and evaluate whether BreEZe's system design and requirements impacted the board's implementation timeline and business processes. In addition, determine whether Consumer Affairs modified BreEZe as a result of the board's business processes or whether the board modified its business processes to conform with the implementation of BreEZe.
8. Determine the average amount of time it took the board to process licenses before and after Consumer Affairs implemented BreEZe. If processing times increased after implementation, determine the causes for the increases.
9. Assess the current backlog of license applications, if any, and determine what steps Consumer Affairs and the board are taking or have taken to address any backlog and to provide services for new and renewing applicants.
10. Determine and evaluate whether Consumer Affairs and/or the board had contingency plans in place to address potential delays in implementing BreEZe and gaps in staff capacity or the processing of license applications.
11. Review and assess any other issues that are significant to the audit.